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PTO/SB/21 (08-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application No.	09/976,301
		Filing Date	October 11, 2001
		First Named Inventor	Steve Grove
		Group Art Unit	2176
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	11	Attorney Docket Number	3801P053

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Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	André L. Marais, Reg. No. 48,095 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
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Date	10/24/02

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

STEVE GROVE

Application No.: 09/976,301

Filed: October 11, 2001

For: **SYSTEM AND METHOD TO  
FACILITATE TRANSLATION OF  
COMMUNICATIONS BETWEEN  
ENTITIES OVER A NETWORK**

Art Group: 2176

Examiner: Not Yet Assigned

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**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.


The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666.

Respectfully submitted,


BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 10/24/02

  
\_\_\_\_\_  
André L. Marais, Reg. No. 48,095

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(408) 947-8200

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Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Complete if Known	
				Application Number	09/976,301
				Filing Date	10/11/01
				First Named Inventor	Steve Grove
				Group Art Unit	2176
				Examiner Name	Not Yet Assigned
Sheet 1 of 8				Attorney Docket Number	3801P053

U.S. PATENT DOCUMENTS					
Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate	
	3,581,072	Nymayer	5/25/1971	3/28/1968	
	3,573,747	Adams, et al.	4/6/1971	2/24/1969	
	4,412,287	Braddock, III	10/25/1983	9/15/1982	
	4,674,044	Kalmus, et al.	4/16/1997	1/30/1985	
	4,677,552	Sibley, Jr.	6/30/1987	10/5/1984	
	4,789,928	Fujisaki	12/6/1988	1/30/1987	
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	4,903,201	Wagner	2/20/1990	11/3/1983	
	5,063,507	Lindsey, et al.	11/5/1991	9/14/1990	
	5,077,665	Sliverman, et al.	12/31/1991	5/25/1989	
	5,101,353	Lupien, et al.	3/31/1992	5/31/1989	

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Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
	PCT	WO 92/15174	2/25/1992	Beaumont-Maxin International	9/3/1992	
	PCT	WO 96/34356	4/26/1996	Fleanet, Inc.	10/31/1996	
	PCT	WO 97/37315	3/19/1997	Onsale, Inc.	10/9/1997	

OTHER DOCUMENTS			
Examiner Initials *		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	1	MALONE, T.W.; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6.	
	2	WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
	3	"Personal Optimized Decision/Transaction Program", <u>IBM Technical Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1	
	4	NEO, B.S, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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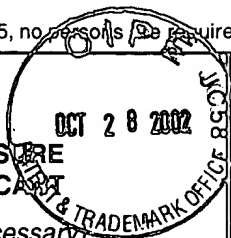
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 2 of 8

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		Number			
		5,136,501	Silverman, et al.	8/4/1992	5/26/1989
		5,168,446	Wiseman	12/1/1992	5/23/1989
		5,243,515	Lee	9/7/1993	10/30/1990
		5,258,908	Hartheimer, et al.	11/2/1993	11/2/1990
		5,280,422	Moe, et al.	1/18/1994	11/5/1990
		5,297,031	Gutterman, et al.	3/22/1994	3/6/1990
		5,297,032	Trojan, et al.	3/22/1994	2/1/1991
		5,305,200	Hartheimer, et al.	4/19/1994	11/2/1990
		5,325,297	Bird, et al.	6/28/1994	6/25/1992
		5,329,589	Fraser, et al.	7/12/1994	6/3/1993
		5,375,055	Togher, et al.	12/20/1994	2/3/1992
		5,394,324	Clearwater	2/28/1995	12/8/1993

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**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
	Netherland	9300266	2.10.1993			No
	France	2658635-A1	2.6.1991			
	Canada	2,253,543	3/19/1997			Yes

**OTHER DOCUMENTS**

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
q	ROCKOFF, T.E; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16.	
s	MASSIMB, M.N; PHELPS, B.D, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50.	
i	POST, D.L; COPPINGER, S.S, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3.	
v	HESS, C.M; KEMERER, C.F., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274.	

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		Filing Date	10/11/01
		First Named Inventor	Steve Grove
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		Examiner Name	Not Yet Assigned
Sheet 3 of 8	Attorney Docket Number	3801P053	

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Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
		5,426,281	Abecassis	6/20/1995	10/29/1993
		5,553,145	Micali	9/3/1996	8/4/1995
		5,640,569	Miller, et al.	6/17/1997	4/28/1995
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		5,689,652	Lupien, et al.	11/18/1997	4/27/1995
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		5,715,402	Popolo	2/3/1998	11/9/1995
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		5,818,914	Fujisaki	10/6/1998	3/27/1995
		5,826,244	Huberman	10/20/1998	8/23/1995

FOREIGN PATENT DOCUMENTS							
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		Office or Country	Number	Date			
		PCT	WO99/63461	12/9/1999			
		PCT	WO95/17711	6/29/1995			

OTHER DOCUMENTS			
Examiner Initials *		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	1	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21.	
	2	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technical Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3.	
	3	LEE, Ho G., " Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV.	
	4	CLEMONS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12.	

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				Application Number		09/976,301	
				Filing Date		10/11/01	
				First Named Inventor		Steve Grove	
				Group Art Unit		2176	
				Examiner Name		Not Yet Assigned	
Sheet	4	of	8	Attorney Docket Number		3801P053	

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Examiner Initials *	U.S.Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
		5,835,896	Fisher, et al.	11/10/1998	3/29/1996
		5,845,266	Lupien, et al.	12/1/1998	12/12/1995
		5,850,442	Muftic	12/15/1998	3/26/1996
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		5,485,510	Colbert	1/16/1996	9/1/1994
		5,557,728	Garrett, et al.	9/17/1996	11/22/1994
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		5,657,389	Houvener	8/12/1997	5/8/1995
		5,694,546	Reisman	12/2/1997	5/21/1994
		5,706,457	Dwyer, et al.	1/6/1998	6/7/1995
		5,715,314	Payne, et al.	2/3/1998	10/24/1994

FOREIGN PATENT DOCUMENTS						
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OTHER DOCUMENTS		
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	MARDESICH, J., "Onsale takes auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32.	
	"Onsale joins fray as online shopping picks up speed: INTERNET BOOMS", <u>Computer Reseller News</u> , June 5, 1995, Page 73 (www.dialogweb.com).	
	SIEGMANN, Ken, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42 (www.dialogweb.com).	
	"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, (pp 3) Dialog Web. 0489267 BW0022.	

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

OCT 28 2002

Complete if Known

Application Number 09/976,301  
Filing Date 10/11/01  
First Named Inventor Steve Grove  
Group Art Unit 2176  
Examiner Name Not Yet Assigned  
Attorney Docket Number 3801P053

Sheet 5 of 8

## U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	5,771,380	Tanaka, et al.	6/23/1998	10/7/1996
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	5,799,285	Klingman	8/25/1998	8/30/1996
	5,803,500	Mossberg	9/8/1998	3/27/1997
	5,845,265	Woolston	12/1/1998	11/7/1995
	5,872,848	Romney, et al.	2/16/1999	2/18/1997
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	5,884,056	Steele	3/16/1999	12/28/1995
	5,890,138	Godin, et al.	3/30/1999	8/26/1996
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## FOREIGN PATENT DOCUMENTS

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## OTHER DOCUMENTS

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q	SCHMID, B.F., "The Development of Electronic Commerce", Newsletter of the Competence Centre Electronic Markets, October 1993, No. 9/10.	
t	TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", Norwegian Computing Center, No Date Given, www.nr.no/gem/elcom/publikasjoner/enter98e.html.	
a	GRAHAM, I., "The Emergence of Linked Fish Markets in Europe", Focus Theme, No Date Given.	
1	RECK, Martin, "Traing-Process Characteristics of Electronic Auctions", Focus Theme, No Date Given.	

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		5,926,794	Fethe	7/20/1999	3/6/1996
		5,991,739	Cupps, et al.	11/23/1999	11/24/1997
		6,035,402	Vaeth, et al.	3/7/2000	12/20/1996
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		6,073,117	Oyanagi, et al.	6/6/2000	3/13/1998
		6,104,815	Alcorn, et al.	8/16/2000	1/9/1998
		5,715,314	Payne, et al,	2/3/1998	10/24/1994
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		5,799,285	Klingman	8/25/1998	8/30/1996
		5,803,500	Mossberg	9/8/1998	3/27/1997

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OTHER DOCUMENTS			
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		LEE, H.G., "AUCNET: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given.	
		KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given	
		TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given.	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				Application Number	09/976,301
				Filing Date	10/11/01
				First Named Inventor	Steve Grove
				Group Art Unit	2176
				Examiner Name	Not Yet Assigned
Sheet	7	of	8	Attorney Docket Number	3801P053

U.S. PATENT DOCUMENTS				
Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
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OTHER DOCUMENTS		
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Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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